

Exhibit 4-2 DESIGN-RELATED APPROVALS MATRIX

Funding	Highway System	Project Type <sup>1,2</sup>	Project Administered by <sup>24</sup>	Non-Standard Feature Approval	Environmental Determination		Design Approval Request Memo			
					NEPA		SEQR	From	To	Design Approval Grantor
					CE <sup>3</sup>	EA/EIS				
Federal Aid	NHS	<b>PoDI Pre-Screening Criteria</b> ► Estimated Construction Cost ≥ \$10 <sup>4.5</sup> million - Regions 1-9 & NYSTA/CC (e.g., 3R, 4R, Reconstruction and New Construction, New Bridges, Bridge Rehab, and Bridge Reconstruction Projects) ► Estimated Construction Cost ≥ \$25 <sup>4.5</sup> million - Regions 10 & 11 (e.g., 3R, 4R, Reconstruction and New Construction, New Bridges, Bridge Rehab, and Bridge Reconstruction Projects) ► Freeways on New Location ► EIS Projects ► Sub-Major Projects (\$100 - \$500 million) <sup>6</sup> ► Major Projects (> \$500 million) <sup>6</sup> ► Interstate Designation Projects ► Proposed Interstate Access Break or Modification ► Major and unusual Structures <sup>7</sup> ► Projects Funded with ADHS or TIGER Funds ► Discretionary PoDIs identified by FHWA <sup>2</sup>	NYSDOT	FHWA <sup>8</sup>	FHWA/ RD	FHWA	RD	RD	MOPL <sup>9</sup>	FHWA
			NYSTA	FHWA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA	NYSTA	MOPL <sup>9</sup>	FHWA
			NYSCC	FHWA <sup>8</sup>	FHWA/ NYSCC	FHWA	NYSCC	NYSCC	MOPL <sup>9</sup>	FHWA
			Local	Local = RLO <sup>8</sup> NHS = FHWA	FHWA/ RD	FHWA	RLO	LD <sup>10</sup> / RLO <sup>11</sup>	RD	FHWA <sup>12</sup>
		Programmatically Delegated Projects (Projects Not Meeting the PoDI Pre-Screening Criteria listed above)								
		► Freeway 2R/3R ► Reconstruction and New Construction ► Major Intersection Reconstruction ► New & Replacement Bridges	NYSDOT	DCED <sup>8</sup>	FHWA/ RD	FHWA	RD	RD	MOPL <sup>9</sup>	DCED
			Local	Local = RLO <sup>8</sup> NHS = RD	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO <sup>11</sup>	RD <sup>12</sup>
		► All Other Project Types (Note 5)	NYSDOT	RD <sup>8</sup>	FHWA/ RD	FHWA	RD	RDE	RD	RD
			Local	Local = RLO <sup>8</sup> NHS = RD	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO <sup>11</sup>	RD <sup>12</sup>
		► Some work on or related to the State Highway System <sup>13</sup>	NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA	NYSTA	DCED	NYSTA <sup>14</sup>
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC	NYSCC	DCED	NYSCC <sup>16</sup>
		► All work off and unrelated to the State Highway System <sup>13</sup>	NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA			NYSTA
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC			NYSCC
	Non-NHS <sup>2</sup>	IF a non-NHS projects meets the PoDI Pre-Screening Criteria above		THEN consultation between NYSDOT (RPPM or RDE), NYSTA or NYSCC and FHWA shall occur at close of project scoping to determine the appropriate level of FHWA's involvement. Discussion topics to include scope, schedule, cost, location, etc.						
		► Reconstruction and New Construction ► Major Intersection Reconstruction ► New & Replacement Bridges	NYSDOT	DCED <sup>8</sup>	FHWA/ RD	FHWA	RD	RD	MOPL <sup>9</sup>	DCED
			NYSDOT	RD <sup>8</sup>	FHWA/ RD	FHWA	RD	RDE	RD	RD
		► Some work on or related to the State Highway System <sup>13</sup>	NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA	NYSTA	RD	NYSTA <sup>17</sup>
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC	NYSCC	RD	NYSCC <sup>18</sup>
			Local	Local = RLO <sup>8</sup> NHS/State = RD	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO <sup>11</sup>	RD <sup>12</sup>
		► All work off and unrelated to the State Highway System <sup>13</sup>	NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA			NYSTA
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC			NYSCC
			Local	RLO	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO <sup>11</sup>	RLO <sup>12</sup>

Exhibit 4-2 DESIGN-RELATED APPROVALS MATRIX (continued)

Funding	Highway System	Project Type <sup>1,2</sup>	Project Administered by <sup>24</sup>	Non-Standard Feature Approval	Environmental Determination		Design Approval Request Memo			
					NEPA		SEQR	From	To	Design Approval Grantor
					CE <sup>3</sup>	EA/EIS				
Federal Aid	ITS/OperationsProjects <sup>19</sup>	► Exempt <sup>19</sup> and Low-Risk <sup>19</sup>  ● Some work on or related to the State Highway System <sup>13</sup>  ● All work off and unrelated to the State Highway System <sup>13</sup>	NYSDOT	DCED <sup>8</sup>	FHWA/ RD	FHWA	RD	RD	MOPL <sup>9</sup>	DCED
			NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA	NYSTA	MOPL <sup>9</sup>	NYSTA <sup>20</sup>
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC	NYSCC	MOPL <sup>9</sup>	NYSCC <sup>21</sup>
			Local	Local = RLO <sup>8</sup> NHS/State = RD	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO <sup>11</sup>	RD <sup>12</sup>
			NYSTA	NYSTA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA			NYSTA
			NYSCC	NYSCC <sup>15</sup>	FHWA/ NYSCC	FHWA	NYSCC			NYSCC
			Local	RLO	FHWA/ RD	FHWA	RLO	LD <sup>10</sup>	RLO	RLO <sup>12</sup>
		► High-Risk <sup>19</sup>	NYSDOT	FHWA <sup>8</sup>	FHWA/ RD	FHWA	RD	RD	MOPL <sup>9</sup>	FHWA
			NYSTA	FHWA <sup>8</sup>	FHWA/ NYSTA	FHWA	NYSTA	NYSTA	MOPL <sup>9</sup>	FHWA
			NYSCC	FHWA <sup>8</sup>	FHWA/ NYSCC	FHWA	NYSCC	NYSCC	MOPL <sup>9</sup>	FHWA
			Local	Local = RLO <sup>8</sup> NHS = FHWA	FHWA/ RD	FHWA	RLO	LD <sup>10</sup> / RLO <sup>11</sup>	RD	FHWA <sup>12</sup>
		100% State	All	► Projects types listed in the PoDI Pre-Screening Criteria above ► Freeway 2R/3R ► Reconstruction and New Construction ► Major Intersection Reconstruction ► New & Replacement Bridges ► Interstate Access Modifications and Breaks in Interstate Access (these projects require a NEPA document – see note 22)	NYSDOT	DCED <sup>8</sup>	See Note 23	RD	RD	MOPL <sup>9</sup>
Local	RLO <sup>8</sup>				RLO	LD <sup>10</sup>		RLO	RLO <sup>12</sup>	
► All Other Project Types	NYSDOT			RD <sup>8</sup>	RD	RDE		RD	RD	
	Local			RLO	RLO	LD <sup>10</sup>		RLO	RLO <sup>12</sup>	
► Some work on or related to the State Highway System <sup>13</sup>	NYSTA			NYSTA <sup>8</sup>	NYSTA	NYSTA		DCED	NYSTA <sup>13</sup>	
	NYSCC			NYSCC <sup>15</sup>	NYSCC	NYSCC		DCED	NYSCC <sup>15</sup>	
► All work off and unrelated to the State Highway System <sup>13</sup>	NYSTA			NYSTA <sup>8</sup>	NYSTA				NYSTA	
	NYSCC			NYSCC <sup>15</sup>	NYSCC				NYSCC	

Key to Abbreviations:

DCED - NYSDOT Deputy Chief Engineer Design		CE - Categorical Exclusion	RD - NYSDOT Regional Director	
MOPL - NYSDOT Main Office Project Liaison		ROD - Record of Decision	DONSE - Determination of No Significant Effect	
FHWA - Federal Highway Administration		NHS - National Highway System	PLAFAP - NYSDOT Procedures for Locally Administered Federal-Aid Projects manual	State Highway System – all roadways owned and/or maintained by NYSDOT (excludes the Thruway system)
NYSTA – Thruway Authority	NYSCC - Canal Corporation	LD - Local Designer		
RLO - Responsible Local Official as defined in PLAFAP Chapter 1 Section 1.6 (e.g., mayor, town supervisor, county executive, chair of county board of supervisors, state agency commissioner, etc.)		PoDI – FHWA Project of Division Interest	SOA – <i>Stewardship and Oversight Agreement on Project Assumption and Program oversight by and between Federal Highway Administration and the New York State Department of Transportation</i>	





**Exhibit 4-2 DESIGN-RELATED APPROVALS MATRIX (continued)**

**Footnotes:**

- 1) Project types are defined in PDM Appendix 5, Section 2.0.
- 2) FHWA may select any project as a discretionary PoDI, regardless of highway system or discretionary screening criteria (MAP-21 SOA Attachment C Table 2). If selected, projects will follow the appropriate process from the PoDI Pre-Screening Criteria.
- 3) NEPA categorical exclusion determination by FHWA or a State Agency is determined by the Federal Environmental Approvals Worksheet (FEAW).
- 4) Estimated construction cost based on current Engineer's Estimate (total cost including local (including betterment shares), state, and federal funds). If at PS&E cost estimates exceed the thresholds, FHWA may require a review of the project prior to providing approval to advertise.
- 5) RD retains approval authority for all 1R, element specific, VPP, sign replacement, Type II (retrofit) noise abatement, rest area, pavement marking, and guide rail replacement projects regardless of cost. An approved copy of the DAD for rest area projects shall be submitted to the Landscape Architecture Bureau for information purposes. An approved copy of the DAD for element specific projects shall be submitted to the Design Quality Assurance Bureau Project Development Section (highway projects) or Structures Design Q/A Bureau (structures projects) for information purposes. For a full list of element specific work types, refer to PDM Appendix 7, Exhibits 7-4 and 7-5.
- 6) Estimated costs to complete design, right-of-way, and construction stages.
- 7) This project category includes tunnels and the following bridge types: pre-cast segmental, cable-stayed, suspension, and movable. It also includes the four major East River Bridges and the East River Bridge Preventative Maintenance contracts in New York City.
- 8) For projects that propose new or retained non-standard features (NSF) on more than one system, the Design Approval Grantor (FHWA, DCED, RD or NYSTA) will approve NSF on the NHS, the DCED or RD will approve NSF on State highways and the RLO will approve NSF on local roadways.
- 9) The MOPL for the various project types is shown in PDM Exhibit 4-1 (e.g., DQAB, Office of Structures, Office of Traffic Safety and Mobility, etc.). For EIS Projects, the Office of the Environment is the MOPL, with DQAB performing engineering reviews.
- 10) Approval must be based on a request memo that includes certification by the licensed professional whose field of practice is consistent with the work type and is in responsible charge of the project.
- 11) The RLO must send a cover memo to the Regional Local Project Liaison (see PLAFAP for an example). The Regional Local Project Liaison will forward the Design Approval Request Memo to the Regional Director (or designee) for his or her approval, or to the Regional Director (or designee) for forwarding to FHWA for their approval.
- 12) See PLAFAP for an example of the Design Approval Request memo.
- 13) Thruway projects that include work over the State Highway System must be submitted to NYSDOT for review and concurrence with design criteria of the under roadway (including horizontal and vertical clearance) prior to the granting of design approval.
- 14) The NYSTA Chief Engineer shall be responsible for granting design approval upon recommendation from the NYSDOT Deputy Chief Engineer.
- 15) For projects that propose new or retained non-standard features (NSF) on more than one system, the NYSCC will approve NSF on the canal system, the DCED or RD will approve NSF on the NHS and State highways and the RLO will approve NSF on local roadways.
- 16) The NYSCC Deputy Director of Canal Engineering, Construction & Maintenance shall be responsible for granting design approval upon recommendation from the NYSDOT Deputy Chief Engineer.
- 17) The NYSTA Chief Engineer shall be responsible for granting design approval upon recommendation from the NYSDOT Regional Director.
- 18) The NYSCC Deputy Director of Canal Engineering, Construction & Maintenance shall be responsible for granting design approval upon recommendation from the NYSDOT Regional Director.
- 19) All ITS projects are to be presented to the FHWA Division Office for approval of a preliminary determination of project type in the following three categories: Exempt, Low-Risk, and High-Risk projects. (see Attachments C.1, C.2, C.3 and C.4 of the FHWA/NYSDOT Stewardship and Oversight Agreement for review request to be submitted to FHWA at the initial funding stage.)
- 20) The NYSTA Chief Engineer shall be responsible for granting design approval upon recommendation from the NYSDOT MOPL (ITS Unit, Systems Optimization Bureau).
- 21) The NYSCC Deputy Director of Canal Engineering, Construction & Maintenance shall be responsible for granting design approval upon recommendation from the NYSDOT MOPL (ITS Unit, Systems Optimization Bureau).
- 22) FHWA must review and approve all Interstate Access Modification Reports for all projects that include Interstate access modification or breaks in Interstate access. A NEPA document is required for all projects including an Interstate Access Modification.
- 23) On 100% State projects that do not require FHWA or other federal action, NYSDOT does not follow the NEPA process. However, when the project requires the granting of a permit or approval or other action by a federal agency (e.g., Corps permit, FHWA ROW approval), that agency is required to follow the appropriate NEPA process. In such cases, the Region may be required to submit additional information to the federal agency in support of the agency's NEPA requirements.
- 24) For the purposes of this matrix, "Project Administered by" is the entity letting the Project.

Exhibit 4-3 POST-DESIGN-APPROVAL MATRIX

PoDI Type <sup>1</sup>	Project Administered by <sup>9</sup>	Design Actions						Procurement Actions			Construction Actions			
		Interstate Access Modification <sup>2</sup>	Non-Interstate Access Modification	Advanced Detail Plans Review	Right of Way Projections Concurrence	PS&E Approval	Major PS&E Amendment Approval	SEP-14 Approvals <sup>3</sup>	Authorize Advertisement	Concur in Award	Approve OOCs	Approve time Extensions	Concur in Settlement of Claims	Final Acceptance
Category I: Full Federal involvement In All Phases	NYSDOT	FHWA	DCED	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA
	NYSTA or CC													
	Local													
Category II: Detailed Design / Contract Document Review and Approval Only	NYSDOT	FHWA	DCED	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	NYSDOT	NYSDOT	NYSDOT	NYSDOT
	NYSTA or CC		NYSTA or CC								NYSTA or CC	NYSTA or CC		
	Local		RD <sup>4</sup>								RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>	
Category III: Spot Check Construction Review	NYSDOT	FHWA	DCED	RD	FHWA	RD	RD	FHWA	NYSDOT	NYSDOT	NYSDOT <sup>6</sup>	NYSDOT <sup>6</sup>	NYSDOT <sup>6</sup>	NYSDOT <sup>6</sup>
	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC <sup>6</sup>	NYSTA or CC <sup>4</sup>	NYSTA or CC <sup>4</sup>	NYSTA or CC <sup>4</sup>	
	Local		DCED/RLO <sup>4,5</sup>	RD <sup>4</sup>		RD <sup>4</sup>	RD <sup>4</sup>		RD <sup>4</sup>	RD <sup>4,6</sup>	RD <sup>4,6</sup>	RD <sup>4,6</sup>	RD <sup>4,6</sup>	
Category IV: No Further Federal Involvement	NYSDOT	FHWA	DCED	RD	FHWA	RD	RD	FHWA	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT
	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	
	Local		DCED/RLO <sup>4,5</sup>	RD <sup>4</sup>		RD <sup>4</sup>	RD <sup>4</sup>		RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>	
Delegated Projects <sup>7</sup>	NYSDOT	FHWA	DCED	RD	FHWA	RD	RD	FHWA	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT
	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	
	Local		RD/RLO <sup>4,5</sup>	RD/RLO <sup>4,8</sup>		RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>		RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>	
100% State Funded Projects	NYSDOT	FHWA	DCED	NYSDOT	NYSDOT	NYSDOT	NYSDOT		NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT
	NYSTA or CC		NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC		NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC		
	Local		RD/RLO <sup>4,5</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>		RLO <sup>4</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>		

PoDI Type <sup>1</sup>	Project Administered by <sup>9</sup>	Sub-Major Projects (\$100-\$500 million)	Major Projects Actions (>\$500 million)					Design-Build Actions in Accordance with Legislative Authority of Project Sponsor		
		Approve Initial/Updated Finance Plans Submitted by Project Sponsor	Approve Consultant Agreements	Approve Project Management Plan	Approve Initial Finance Plan	Conduct Cost Estimate Review	Approve Updated Finance Plans	Concur on Request for Qualifications	Approve on Request for Proposals	Concur in Award
Category I: Full Federal involvement	NYSDOT	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA	FHWA
	NYSTA or CC									
	Local									
Category II: Detailed Design / Contract Document Review and Approval Only	NYSDOT	FHWA						FHWA	FHWA	FHWA
	NYSTA or CC									
	Local									
Category III: Spot Check Construction Review	NYSDOT	FHWA						RD	RD	RD
	NYSTA or CC							NYSTA or CC	NYSTA or CC	
	Local							RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>
Category IV: No Further Federal Involvement	NYSDOT	FHWA						RD	RD	RD
	NYSTA or CC							NYSTA or CC	NYSTA or CC	
	Local							RD <sup>4</sup>	RD <sup>4</sup>	RD <sup>4</sup>
Delegated Projects <sup>7</sup>	NYSDOT	FHWA						RD	RD	RD
	NYSTA or CC							NYSTA or CC	NYSTA or CC	
	Local							RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>	RD/RLO <sup>4,8</sup>
100% State Funded Projects	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT
	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC	NYSTA or CC
	Local	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	NYSDOT	RLO <sup>4</sup>	RLO <sup>4</sup>	RLO <sup>4</sup>

Key to Abbreviations:

FHWA - Federal Highway Administration	DCED - NYSDOT Deputy Chief Engineer Design	RD - NYSDOT Regional Director	SEP-14 – FHWA Special Experimental Project No. 14, Alternative Contracting
PoDI - FHWA Project of Division Interest	NYSTA – Thruway Authority	CC – Canal Corporation	SOA – Stewardship and Oversight Agreement on Project Assumption and Program oversight by and between Federal Highway Administration and the New York State Department of Transportation
RLO - Responsible Local Official as defined in PLAFAP Chapter 1 Section 1.6 (e.g., mayor, town supervisor, county executive, chair of county board of supervisors, state agency commissioner, etc.)			

Exhibit 4-3 POST-DESIGN-APPROVAL MATRIX (continued)

Footnotes:

- 1) FHWA may select any project as a discretionary PoDI, regardless of highway system per the discretionary screening criteria (MAP-21 SOA Attachment C Table 2).
- 2) Interstate Access Modification approval for all projects (including 100% State funded projects) occurs at or after time of design approval.
- 3) Alternate procurement methods other than Design-Bid-Build or Design-Build (e.g. Best value, Public Private Partnership, etc.) for federally funded projects require SEP-14 approvals.
- 4) Approval must be based on a request memo that includes certification by the licensed professional whose field of practice is consistent with the work type and is in responsible charge of the project.
- 5) Non-Interstate Access Modifications are approved by the NYSDOT DCED or RD (as shown) for all NHS roadways and all non-NHS roadways on the State Highway System. Non-Interstate Access modifications on non-NHS roadways off and unrelated to the State Highway System are approved by the Responsible Local Official.
- 6) For Category III PoDIs FHWA will conduct a spot check review during construction. Subsequent follow up construction reviews may be conducted as necessary, pending findings from the spot check review.
- 7) Delegated Projects are Federal Aid projects not requiring design approval from FHWA based on PoDI **Pre-Screening Criteria** nor due to being selected by FHWA as a discretionary PoDI.
- 8) The grantor of design approval will approve Locally Sponsored Federal Aid projects that are Programmatically Delegated.
- 9) For the purposes of this matrix, “Project Administered by” is the entity letting the Project.